

# **10 FAM 430**

## **U.S. LECTURERS AND RESEARCH SCHOLARS**

*(TL:PEC-01; 10-01-1999)*

### **10 FAM 431 PURPOSE**

*(TL:PEC-01; 10-01-1999)*

This material is designed as a working guide for operations of the U.S. lecturer/research scholar exchanges both in the United States and abroad and is to be used in conjunction with Section 600 of the Policy Statements of the J. William Fulbright Foreign Scholarship Board, (BFS-PS edition 06-94) and subsequent revisions. The procedures are essentially the same for Commission and non-Commission countries and should be followed by all posts having U.S. professor programs. Situations that require different handling for Commission and non-Commission grants are presented in parallel. The expression "Commission/post" is used to indicate responsibility of the Commission and Post in some instances and in others to indicate Commission or Post.

### **10 FAM 432 DEFINITIONS**

#### **10 FAM 432.1 Organizations**

*(TL:PEC-01; 10-01-1999)*

a. **J. William Fulbright Foreign Scholarship Board (BFS).** A twelve-member Presidentially-appointed body drawn principally from the U.S. academic community with responsibility under the Mutual Educational and Cultural Exchange Act of 1961 (The Fulbright-Hays Act) for selection of all academic exchange grantees and the supervision of the Fulbright Program including the establishing of policy guidelines governing all such exchanges. The authority of the Board applies to all programs in both Commission and non-Commission countries.

b. **Bureau of Education and Cultural Affairs.** The section of the U.S. Department of State charged with the responsibility for administering the exchange program authorized by the Mutual Educational and Cultural Exchange Act of 1961 (the Fulbright-Hays Act). The Bureau of Education and Cultural Affairs (ECA) includes, among others, the an Office of Academic Exchange Programs (ECA/A/E), which is responsible for the Fulbright Program exchanges.

c. **Commission/Foundation.** A binational Commission or Foundation established by an Executive Agreement between the United States and a foreign government under the Mutual Educational and Cultural Exchange Act of 1961.

d. **Post.** The Public Diplomacy section at an embassy or other U.S. mission abroad. If no Public Diplomacy section exists, "Post" may refer to the U.S. Embassy in general.

e. **Cooperating Agency (CA).** Under a cooperative agreement, the Department contracts with private organizations.

## **10 FAM 432.2 Personnel/Grantees**

### **10 FAM 432.2-1 Lecturer**

*(TL:PEC-01; 10-01-1999)*

A scholar whose responsibility primarily is to teach in a foreign university or to provide consultative services to faculties or departments within institutions abroad.

### **10 FAM 432.2-2 Research Scholar**

*(TL:PEC-01; 10-01-1999)*

A grantee whose activity abroad is independent postdoctoral research in some aspect of his or her academic discipline. In some instances, combination grants will be made to enable the grantee to devote part-time to research while engaged in some teaching, usually at the graduate level.

### **10 FAM 432.2-3 Distinguished Senior Scholar**

*(TL:PEC-01; 10-01-1999)*

An eminent scholar usually recruited by invitation for a grant for lecturing, consulting, or other academic activities with the objective of enhancing the prestige of programs or projects planned by Commissions/posts abroad. Usually these grants are short-term, but in special cases they may be of normal duration.

### **10 FAM 432.2-4 Junior Lecturer/Junior Researcher**

*(TL:PEC-01; 10-01-1999)*

Junior Scholars are recent Ph.D. recipients or advanced Ph.D. candidates. They may be considered along with Senior Scholars for grant posi-

tions for which their education and/or experience qualifies them to undertake the lecturing/research responsibilities of a proposed project.

### **10 FAM 432.2-5 Summer Seminar Participant**

*(TL:PEC-01; 10-01-1999)*

A faculty member, university administrator, or professional in an appropriate field who, as a participant, can benefit from an intensive short-term program in some aspect relating to his or her academic or professional activities.

### **10 FAM 432.3 Legal Authorization**

*(TL:PEC-01; 10-01-1999)*

The Mutual Educational and Cultural Exchange Act of 1961 (The Fulbright-Hays Act). To quote from the Act:

"Sec. 101. Statement of Purpose:

The purpose of the Act is to enable the Government of the United States to increase mutual understanding between the people of the United States and the people of other countries by means of educational and cultural exchange; to strengthen the ties which unite us with other nations by demonstrating the educational and cultural interests, developments, and achievements of the people of the United States and other nations, and the contributions being made toward a peaceful and more fruitful life for people throughout the world; to promote international cooperation for educational and cultural advancement; and thus to assist in the development of friendly, sympathetic, and peaceful relations between the United States and the other countries of the world."

## **10 FAM 433 TYPES OF GRANTS**

### **10 FAM 433.1 Fully-Funded Grants to Lecturers and Researchers**

*(TL:PEC-01; 10-01-1999)*

a. Most Fulbright awards to U.S. lecturers and researchers are fully-funded grants for one academic year, but the Program recognizes the need for flexibility and some grants are authorized for shorter periods of time, and occasionally funding arrangements are modified. In the administration of fully funded grants, procedures depend on whether the grant is to be carried out in a Commission country or a non-Commission country. In the Commission country the grant benefits are determined by the Commission

and are valid only for that country. Control and disbursement of funds is generally the responsibility of the Commission.

b. Fulbright grantees selected for non-Commission countries are provided with a "fixed-sum" grant that may vary from one country to another. The amounts to be paid to the grantee, which are set by the Department in consultation with the Commission, depend on a tabulation of fixed costs of a one-time nature (including travel), and a calculation of ongoing expenses on a monthly basis. Certain additional allowances, such as tuition for children, maintenance of dependents, and attendance at orientation programs, may be allowed. Disbursement of these funds is undertaken by the cooperating agency.

## **10 FAM 433.2 Partial Grants**

*(TL:PEC-01; 10-01-1999)*

U.S. scholars often have opportunities not funded under the Fulbright Program to lecture, do research, teach, or carry out other academic activities at institutions abroad. These may provide some, but not all of the funds necessary for the scholar's maintenance. A scholar in this situation may apply for a Fulbright grant which may or may not include travel and supplementary funds, depending on the scholar's needs. To meet the BFS requirements it must be shown that the issuance of partial grants of this type in these instances will serve the purposes of the Fulbright program and support the objectives of the country program.

## **10 FAM 433.3 Serial Grants**

*(TL:PEC-01; 10-01-1999)*

a. A serial grant is an award to a scholar to permit visits of two to four months duration annually over a period of two to three years. The purpose of this type of award is to achieve a degree of flexibility and to ensure continuity and follow-up to the grantee's initial short-term assignment.

b. The Commission/post in proposing a serial grant must be prepared to justify this arrangement based on the stated goals of the Program Proposal and/or Country Plan. All types of academic activity are permitted under the serial grant arrangement.

c. One of the objectives of this type of award is to attract eminent U.S. scholars who may only be able to arrange for absence from their home campuses for relatively short periods of time each year. Limitations apply to the duration of each segment of these grants: they may not exceed an eight-month duration over a two-year period and not over twelve months for three years.

## **10 FAM 433.4 Distinguished Senior Scholars**

*(TL:PEC-01; 10-01-1999)*

a. This special category is for the purpose of including in the Program eminent scholars who may be available for only short periods of time, possibly two weeks to two or three months.

b. Distinguished scholars may be involved in most academic activities such as consulting with officials of institutions, participation in seminars or workshops, or taking part in other cultural programs or activities under the direction of Commissions or U.S. missions abroad.

## **10 FAM 433.5 Honorary Grants**

*(TL:PEC-01; 10-01-1999)*

a. An honorary grant is an unfunded title-only grant provided to a prestigious academic who has offered his or her services to the program. In view of the scholar's accomplishments and prominence it is expected the scholar can make a significant contribution particularly in inter-country exchanges.

b. Senior scholars meeting the qualifications may be nominated for this type of grant by any of the Commissions.

## **10 FAM 434 RECRUITMENT OF APPLICANTS**

*(TL:PEC-01; 10-01-1999)*

a. The cooperating agency has responsibility for publicizing all awards available to U.S. Lecturers and Research Scholars and organizing peer review of the large number of applications received each year. After processing by the cooperating agency, the dossiers of these scholar-candidates are forwarded to the Commissions and Posts, and ultimate nomination to the J. William Fulbright Foreign Scholarship Board for selection.

(1) Since the beginning of the program the process has been developed and refined by which scholar applicants for Fulbright grants are screened by the cooperating agency for academic and professional competence, adaptability, language ability (where this is a factor in selection), and other qualifications deemed relevant to the responsibilities of holding an appointment as a visiting U.S. scholar at an university abroad.

(2) Available exchange opportunities are announced in general and professional journals and other media, by bulletins sent to colleges and universities, through professional organizations, and by various other means.

The coverage is widespread and experience over the years indicates that these techniques have been generally effective.

(3) Cooperating agency staff work with prospective applicants to cultivate contacts in fields that are generally in short supply in order to alert the scholars to award opportunities. All U.S. scholars fall into two categories: Lecturers and researchers, or sometimes a combination of the two. The processing for both categories is the same; the circumstances affecting them are somewhat different. Research opportunities are very actively sought by U.S. academics and there are often more applicants than there are openings and grants available. But with lecturers the reverse may be true—institutions abroad often prefer to have a U.S. scholar as a visiting lecturer and therefore there may be more lecturing opportunities than there are applicants to fill them. To meet the needs of the Program, the cooperating agency must direct its recruitment efforts to interest qualified scholars to apply for these openings.

b. Many U.S. colleges and universities have designated a person, usually from the faculty or administration, to be the contact with the cooperating agency for the purposes of the program. The responsibilities of this person are to publicize on the campus the availability of Fulbright awards, to advise faculty on the procedures for applying, and to act as liaison between the institution and the cooperating agency.

c. The cooperating agency prepares and issues an annual awards book that describes the nature of the Fulbright exchange grants and explains procedures for submitting applications and other pertinent details. The book contains a list of each approved award available for the coming year as reported by the Commissions/posts by submitting, as required, a "Request for Appointment of a Fulbright Scholar" form that explains in detail each of the positions listed in the Program Plan/Proposal.

d. To supplement the annual announcement and to assist in recruiting, each year the cooperating agency issues an annual update of opportunities still available and also issues lists in specific fields when publicity through a special workshop, association meeting, or publication is possible.

## **10 FAM 434.1 Competition for Research Scholar Awards**

*(TL:PEC-01; 10-01-1999)*

a. Candidates for research awards usually respond to research opportunities listed in the annual awards catalog issued by the cooperating agency. As noted in the preceding section, research grants are relatively few and while most Commissions/posts usually provide some research opportunities in the Program Plan/Proposal, the preferences of the local institutions generally do not favor the researcher. In spite of the problems, about

30% of roughly 1000 grants awarded annually to U.S. scholars are given to researchers.

b. Sometimes a Post/Commission will find it possible to offer a lecturer/research combination and by this device make it possible to support at least some research activity.

c. The dates for receipt of applications and the announcement of awards vary depending on the geographic location of the country for which application is made, preferences of the local academic system, and other factors. Usually the application deadline is August 1. Applicants should be directed to the cooperating agency for detailed information.

## **10 FAM 434.2 Recruitment for Lecturer Awards**

### **10 FAM 434.2-1 Announced Openings**

*(TL:PEC-01; 10-01-1999)*

a. Almost two years before senior scholars are expected to assume their duties at their host institutions abroad the Commissions/posts are requested to telegram the grant openings which are to be advertised and to submit a "Request for Appointment of a Fulbright Scholar" form to ECA/A/E and the cooperating agency. This form provides information on the proposed institutional assignment, the area of specialization of the grantee and the desired level of experience. Also it details the professional activities expected of the scholar, the courses to be taught, and other activities such as consulting, staff teaching, and administrative responsibilities. The form also reports the opportunities for research and the areas of desired research collaboration.

b. Information is included explaining the educational environment, size of classes, library facilities, computer availability, and other support features the host university can offer. It provides an estimate of the level of language competency expected of the visiting scholar, and some indication of the availability of housing and any academic support staff.

c. This form is to be completed for each specific position for which a scholar is sought. ECA/A/E sets a deadline for submission (currently December 1). This allows approximately twenty months for recruiting, processing, peer review, affiliations and the awarding of grants before the academic year is scheduled to begin.

d. At the same time the Commissions/posts prepare their Program Plans/Country Proposals. The request for a Fulbright Scholar, explained above, must be in agreement with the plans/proposals.

e. The cooperating agency prepares brochures, press releases and other publicity to solicit applications for the approved openings.

## **10 FAM 434.2-2 Distinguished Scholar Nominations**

*(TL:PEC-01; 10-01-1999)*

a. A very limited number of Distinguished Lecturing awards may be available each year for persons with outstanding national or international reputations. The cooperating agency publicizes the availability of these awards and solicits applications, but occasionally, as an exception to the general rule, lecturers may be invited to apply.

b. These are often for Chairs or some other prestigious positions. A higher-than-usual academic and professional standard is demanded for these awards, and a higher stipend may be provided. Often the grants are for short terms.

## **10 FAM 434.2-3 Unannounced Openings**

*(TL:PEC-01; 10-01-1999)*

a. Each year, for different reasons, a number of unannounced openings develop for which it is necessary for the cooperating agency to undertake special recruitment. This usually requires individual processing with consultation between ECA/A/E and the cooperating agency, and a considerable amount of time and expense. Commissions/posts should make every effort to include all, or as many as possible, of their grant positions in the regular competition. Early submission of requests and plans improves the possibilities for an efficient and effective recruitment of scholars.

b. Among the most common of the problems related to special recruitment are the following:

(1) Non-exclusive name requests, distinguished scholar awards in open competition, and distinguished scholar awards in special competitions such as pool grants;

(2) Exclusive name requests with special requirements;

(3) Late awards with projects which in general should involve distinguished scholars; and

(4) Late awards with no names for which the cooperating agency has to recruit.



## **10 FAM 434.3 Nominations**

*(TL:PEC-01; 10-01-1999)*

a. Country Panels:

(1) A country panel of research scholars consists of nominations for all research awards available in the country program. There are normally more nominees than awards available, which provides for attrition and gives Commissions/posts some choice in selection.

(2) For some countries where there are large numbers of lecturing grants available, and more than enough applicants to fill the openings, the cooperating agency presents nominees in country panels. Such panels may be forwarded at the same time as the research panels.

In countries that attract few applications for lecturing, there may be no more than one or two candidates for each opening. In such cases the Commission/post must evaluate the credentials presented to determine whether the applicants meet the requirements of the position and then base its decision on these factors.

(3) Accompanying each country panel the cooperating agency includes a nominating memorandum explaining why the peer review committees found the candidate suitable and noting any problems that may arise relative to the individuals listed.

b. Every candidate nominated by the cooperating agency, whether principal or alternate, must receive official notification of the action on his or her candidacy -either selection or non-selection or an alternate status. (See Summary of Responsibilities of this document which lists the various administrative actions in the processing of these applications and the awarding of grants.)

c. Applicants who are initially not nominated by the cooperating agency will be so advised either by letter or telephone by the program officer handling their case. If the applicant was not successful because his or her application was for a country for which there was intense competition, the program officer may advise him/her that perhaps another country, less competitive, might be interested, assuming that the basic credentials were of a quality meriting further consideration. If the candidate agrees to have his or her credentials submitted for consideration in another country, and is accepted, the grant will be awarded. If not, the applicant will be so advised.

d. All applicants ultimately will receive either a letter of award or a letter of non-selection.

## **10 FAM 435 ANNOUNCEMENTS OF GRANTS AWARDED**

*(TL:PEC-01; 10-01-1999)*

a. Each candidate upon acceptance of his nomination receives a Letter of Selection from the BFS.

b. For each grant issued to a U.S. scholar an individualized congratulatory letter from the Assistant Secretary for Educational and Cultural Affairs is sent to the U.S. Representative and the U.S. Senators representing the recipient's home district and state. This practice applies to grants for non-Commission countries and for some of the smaller Commission countries.

## **10 FAM 436 GRANT BENEFITS AND DURATION**

### **10 FAM 436.1 Grant Benefits**

*(TL:PEC-01; 10-01-1999)*

Annually, the Department publishes a list of grant benefits for Commission and non-Commission countries which may include:

- (1) Domestic and International Travel;
- (2) Maintenance Allowances or Stipends; and
- (3) Book and Incidental Allowances

### **10 FAM 436.1-1 Health and Accident Insurance**

*(TL:PEC-01; 10-01-1999)*

a. All grantees under the Fulbright Program are covered by health and accident insurance provided by ECA. The current limit of this coverage is \$50,000 per illness or injury. Upon receipt of the signed grant document an insurance identity card is issued by the Commission or the cooperating agency to the grantee along with explanatory materials and instructions.

b. Grantees are advised that the health insurance provided for them does not extend to any dependents. It is highly recommended that any accompanying dependents should be covered by health and accident insurance although it is necessary that the grantee procure this personally and at his or her own expense. To assist the grantee, the issuing under-writer has

a program that will provide the coverage for dependents at a nominal additional cost.

c. Because the exchange program operates worldwide there are great variations among the participating countries in such matters as political stability, the possibility of natural disasters, and the availability of competent medical treatment. Grantees should be counseled by the cooperating agency and the Commissions/posts to consider these possibilities and to weigh the need for insurance for dependents to cover any contingencies that might require emergency evacuation.

d. Duration of Coverage:

(1) The grantee is insured from the time of departure from his or her home and during direct travel to the place of assignment, while participating in grant activities, and while directly en route to his or her home.

(2) Grantees are not insured during extended stopovers en route to or from the country where the grant is tenable, nor during travel or stay in another country visited by the grantee for personal reasons.

(3) Coverage is provided during periods of academic recess and any travel performed within the country of assignment for purposes related to the grantee's professional activities including inter-country exchange grant activity. (For details see 10 FAM 020.)

## **10 FAM 436.1-2 Other Grant Benefits**

*(TL:PEC-01; 10-01-1999)*

Other grant benefits are as follows:

- (1) An educational allowance;
- (2) A housing allowance;
- (3) A "settling-in" allowance;
- (4) An orientation program; and
- (5) Miscellaneous allowances and support.

## **10 FAM 436.1-3 Use of Diplomatic Pouch**

*(TL:PEC-01; 10-01-1999)*

a. U.S. Fulbright grantees are generally authorized use of the diplomatic pouch for:

(1) First-class letter mail only, and

(2) A one-time outbound shipment of educational materials to Post (four packages, each with a maximum weight of 40 pounds and size of 62 inches length plus girth).

b. The cooperating agency will advise grantees of the opportunity to use diplomatic pouch.

#### **10 FAM 436.1-4 Availability of Embassy Services**

*(TL:PEC-01; 10-01-1999)*

There is no general rule for any U.S. Embassy services to be made available to U.S. Fulbright grantees, but in some countries, for reasons which are considered of sufficient weight to justify the activity, grantees are sometimes granted access to the Embassy's medical services, and in some cases may have check-cashing and other privileges. These are matters to be decided by the Posts individually and the practice at one does not necessarily establish a precedent for another.

#### **10 FAM 436.1-5 Vacation Periods**

*(TL:PEC-01; 10-01-1999)*

Grantees are entitled to a continuation of grant benefits during normal vacation periods within the academic year of the host institution or country. Alternative programs may be developed by the Commission/post for prolonged vacations beyond a normal two-three week period or beyond any provisions for vacation given in the Terms and Conditions of Award.

### **10 FAM 436.2 Grant Durations**

#### **10 FAM 436.2-1 Research Scholars**

*(TL:PEC-01; 10-01-1999)*

a. Grants are normally based on a full academic year, usually 8-10 months. However, six-month or shorter grants may be approved.

b. Research grants for less than a semester require justification for the shorter period.

c. Travel grants in support of research projects are subject to the same regulations on duration as full grants.

## **10 FAM 436.2-2 Lecturers**

*(TL:PEC-01; 10-01-1999)*

Appointments are normally based on a full academic year or one-semester grants. Short-term appointments may be made in accordance with BFS-PS section 633.3.

## **10 FAM 436.2-3 Grant Extensions**

*(TL:PEC-01; 10-01-1999)*

a. In Commission Countries, an extension is a continuation of a grant for a period not to exceed three months to permit the grantee to complete a project or to continue a service. No additional benefits are given other than a prorated continuation of the maintenance or stipend.

b. An extension in Commission Countries may be approved upon request of the grantee to the Commission, or upon the Commission's request to a grantee. Funds must be available under the budget of the current year and adequate justification made for the extension. No revision of the grant document is necessary; however, there should be written documentation in the field showing the terms of the extension.

c. In extensions in Non-Commission Countries, an amendment of the authorization is necessary. The Post or the cooperating agency shall submit the request to ECA/A/E with, if possible, an indication of the sources of funds to be used.

## **10 FAM 436.2-4 Renewals**

*(TL:PEC-01; 10-01-1999)*

a. Generally, renewal is the reissuance of an award to permit a grantee to remain in the host country for an additional year or a major portion of a year. A renewal becomes a grant in the program for the second year. A renewal includes all the benefits of the original award except travel.

b. In Commission Countries, renewals (for a second year) are approved by the Commission as a result of a request from the grantee, or of a request from the host institution, or an action of the Commission itself for the reason that it is sometimes desirable to continue the same scholar in a position to establish a degree of continuity for the visiting U.S. scholar position in a department or host institution.

c. The Commission must have available sufficient funds for this purpose in the budget for the current year or in the budget for the program year in which the grant activities will be undertaken.

d. The action of the Commission must be reported to ECA/A/E as part of the program of the upcoming year. It is not necessary for ECA/A/E or the BFS to approve second year renewals. The Commission issues a new grant which includes all of the benefits of the first except travel. The grantee must sign the new grant and the Commission includes it as part of the quota for the year in which it will be executed. Copies of the grant award are sent to ECA/A/E and the cooperating agency.

e. In Non-Commission Countries, grants to scholars going to non-Commission countries are issued according to the "fixed-sum" procedures. The duration of the grant is determined by the situation, involving many different factors, and may be as short as three months (under special conditions even less), and up a maximum of one full year. Any grant of less than 12 months may be extended to 12 months maximum.

f. Regulations permit a renewal for a second year if the Post believes this action is in the best interests of the program, and so recommends to ECA/A/E. If the renewal grant is continuous with the preceding grant, or if the renewal grant is under six months duration, ECA/A/E provides only the monthly rate applicable to a grant at the beginning date of the renewal grant. If at least 60 days elapse between the end of a grant and the renewal grant is for six or more months, ECA/A/E provides both the basic rate and the monthly rate applicable to a grant at the beginning date of the renewal grant.

g. Approval of renewals for a third year are extremely rare and must be obtained from BFS and ECA/A/E before the grant can be issued. In presenting a request to the BFS the Commission/post includes these items:

- (1) Name and field of grantee;
- (2) Justification of the request; and
- (3) Statement of the availability of (in the case of Commissions) funds.

ECA/A/E must secure BFS approval and report such approval to the Commission/post before the third grant can be issued.

**Note:** Research Scholars may not receive more than one renewal.

## **10 FAM 436.2-5 Second Grants**

*(TL:PEC-01; 10-01-1999)*

a. Scholars are eligible for second grants if, as a first requirement, three years will have elapsed between the completion of first grant and the beginning of the second, and if the scholar applicant is considered the best qualified for the position to be filled.

b. Both lecturers and research scholars may be considered for second grants, but preference generally will be given to those applicants who have not held Fulbright grants previously.

## **10 FAM 436.3 Revocation of Grants**

*(TL:PEC-01; 10-01-1999)*

a. A grant may be revoked if the actions of the recipient involve any of the following:

(1) Violations of the laws of the United States or of the host country; misconduct;

(2) Failure to maintain satisfactory academic and/or professional standards; physical or mental incapacitation;

(3) Acts likely to give offense to the host country; or

(4) Engaging in political or unauthorized income-producing activities, or other activities, which in the discretion of the BFS and ECA/A/E are inconsistent with the purposes and best interests of the program.

b. The ultimate authorities in matters that may result in revocation of the grant are the BFS and ECA/A/E. Commissions/posts should transmit the facts and recommendations on the specific action considered appropriate to the BFS and ECA/A/E for immediate attention. At this point, no further action should be taken by the Commission/post until it has received the decision of these authorities.

c. In Commission Countries, the Commission has the primary responsibility for recommending the revocation or termination of a grant and withholding remaining allowances and unused transportation for reasons mentioned in the first paragraph above. The BFS and ECA/A/E must respond to the Commission's recommendation either approving or disapproving.

d. It is necessary that the Commission/post obtain from the grantee involved a statement of his or her position in the case, and forward this to

ECA/A/E and the BFS along with the Commission/post recommendations. If the grantee chooses not to state a position the BFS and ECA/A/E should be so advised.

e. A grantee whose grant is revoked on any grounds except mental or physical incapacitation is expected to repay all allowances or benefits under the grant including the cost of any transportation provided. In the case of termination, remaining allowances and benefits to the grantee will cease, except for return travel.

f. In Commission countries, should the grantee fail to carry out the project for which he or she was given the award, or leaves the host country without the written authorization of the Commission, the Commission may suspend the maintenance allowance and other grant benefits and no claim for such allowances or other benefits for such period of absence shall be honored.

g. In countries where there is no Commission, the Post should notify ECA/A/E immediately of any unauthorized absences.

## **10 FAM 436.4 Resignation from Grants**

*(TL:PEC-01; 10-01-1999)*

“When serious and compelling reasons, such as personal illness, death of an immediate member of the family, or other personal situations, make it impossible for the grantee to complete the grant period, the grantee will be permitted to resign from the grant with the concurrence of the Post or the Commission, which should report such cases to the USIA. The Board recommends that a flexible policy on return travel benefits be followed so that grantees will not be penalized for circumstances beyond their control.” (BFS-PS 637.1)



## **10 FAM 437 SPECIAL PROGRAMS**

### **10 FAM 437.1 Summer Seminars**

*(TL:PEC-01; 10-01-1999)*

Some Commissions develop and present summer seminars designed primarily to provide faculty and administrators, among others, with an opportunity to enhance their knowledge and understanding of a foreign culture, or, on a broader base, an understanding of cross-cultural dynamics in special fields as observed from a foreign viewpoint.

#### **10 FAM 437.1-1 Criteria for Selection**

*(TL:PEC-01; 10-01-1999)*

Participants preferred for these summer seminars include senior scholars, experienced administrators, and professional staff at various levels. Each summer seminar has its own objectives and therefore its own concepts of the audience most likely to benefit from the experience.

#### **10 FAM 437.1-2 Duration**

*(TL:PEC-01; 10-01-1999)*

Seminars generally last for approximately two months. Some are conducted annually, and others every two or three years.

#### **10 FAM 437.1-3 Terms of Awards**

*(TL:PEC-01; 10-01-1999)*

Tuition and round trip travel are the basic benefits. In some instances modest allowances for maintenance or travel within the country are provided. Grantees are informed that they will need dollar resources for expenses not covered by the award. Grants do not include family allowances.

#### **10 FAM 437.1-4 Processing**

*(TL:PEC-01; 10-01-1999)*

The cooperating agency announces the seminars, conducts the competition and screening, and nominates the candidates to the BFS. ECA/A/E conducts the administrative review and secures BFS approval. The Commission issues the awards and conducts the programs in accordance with the announced plans.

## **10 FAM 437.2 Inter-Country Exchange Grants**

### **10 FAM 437.2-1 Definition**

*(TL:PEC-01; 10-01-1999)*

a. An inter-country exchange is a special award in the program under which a binational commission or post in one country may invite from another country U.S. scholars or teachers who are already abroad on Fulbright-Hays grants. The invitations issued should be for specific purposes which may include one or a series of lectures, participation in seminars or conferences for civic, university or professional groups, or for local or international conferences. They may be initiated by the Commission/post or they may result from a request to the Commission/post from a university or other organization; requests may also be initiated by scholars who have particular interest in going to other countries.

b. Another feature of this type of exchange is the possibility of inviting former Fulbright grantees who may be abroad under other auspices to participate in an inter-country program.

**Note:** Participation in the inter-country program is open equally to lecturers and research scholars.

### **10 FAM 437.2-2 Procedures for Operation**

*(TL:PEC-01; 10-01-1999)*

Factors governing inter-country exchanges are:

- (1) Availability of funds;
- (2) The willingness of the grantee to participate;
- (3) The grantee's availability (the primary condition of availability is that the inter-country exchange must not interfere with the purpose of the original grant); and
- (4) All arrangements must be made on the basis of consultation with the grantee and with the host country Commission/post.

### **10 FAM 437.2-3 Timing and Duration**

*(TL:PEC-01; 10-01-1999)*

a. Grantees may participate during vacation or other free periods of the academic year if the inter-country activity does not interfere with their basic

program or they may accept inter-country exchange grants just before or after their regular awards.

b. One to three weeks is suggested as the normal duration for inter-country exchanges. The period may vary in accordance with local conditions; however, arrangements in excess of one month may require special approval from ECA/A/E.

## **10 FAM 437.2-4 Financial Arrangements**

*(TL:PEC-01; 10-01-1999)*

a. The country inviting a grantee is responsible for supplying travel and for the grantee's necessary expenses while he or she is on the inter-country grant. The Commission/post may pay all of the costs of inter-country exchange grants or they may share the cost with the institution or organization that requested the grantee.

b. Allowances should be generous enough to cover the grantee's necessary expenses while he or she is on the inter-country grant. Because the scholar is in a transient status his or her expenses per day will be higher than those of a grantee resident in the country for an academic year.

c. If the inter-country exchange takes place during the period of the original grant, the "home" Commission or Post continues payment of the stipend or allowance since the home base of the grantee must be maintained while he or she is away.

## **10 FAM 438 COMMUNICATIONS**

### **10 FAM 438.1 Communications Between Commissions and Cooperating Agency**

*(TL:PEC-01; 10-01-1999)*

a. Authorized communications between the Commissions and the cooperating agency include the following:

- (1) Transmittal of panels of applications and supporting documents;
- (2) Information on change of family status of candidates;
- (3) Dates of availability; and
- (4) Requests from Commissions for additional data on a candidate.

b. Unauthorized Communications include:

- (1) Reports on the status of nominated candidates;
- (2) Requests to the cooperating agency for recruitment (ECA/A/E is the action office);
- (3) Possible transfer of candidates; or
- (4) Other matters related to the grant program.

## **10 FAM 438.2 Communications Between Commissions/Posts and Candidates and Grantees**

*(TL:PEC-01; 10-01-1999)*

a. Commissions are urged not to communicate with candidates until BFS approval has been received. Commissions issue grants, or, if acceptance is pending, advise candidates on their status. Commissions initiate contacts to arrange travel and other matters relative to the processing of the grant.

- (1) The Commission sends status letters to candidates on whom final action is delayed and for whom there is some possibility of placements.

- (2) The Commission issues the grants to lecturers and researchers.

- (3) After the grants are accepted the Commission arranges travel through direct correspondence with the grantee.

b. In non-Commission countries, the Post should neither correspond with candidates until after BFS selection and approval of the medical report, nor until the cooperating agency has issued the grant and it has been accepted, unless ECA/A/E requests that information be sent to a candidate whose selection is assured.

## **10 FAM 438.3 BFS Special Communications**

*(TL:PEC-01; 10-01-1999)*

The BFS sends letters of selection to those scholars receiving awards and non-selection letters to unsuccessful candidates for positions in Post countries.

## **10 FAM 439 RESPONSIBILITIES**

### **10 FAM 439.1 Bureau of Education and Cultural Affairs (ECA/A/E)**

*(TL:PEC-01; 10-01-1999)*

ECA/A/E is responsible to:

(1) Oversee and execute the administrative responsibilities for the worldwide Program, which includes the determination of objectives and the planning of programs to support them.

(2) Determine budget allocations for programs and activities, and provide guidance and supervision for the effective application of resources.

(3) Consult with the BFS on all matters of policy and the maintenance of standards.

(4) In conjunction and consultation with the cooperating agency promote and administer the program for U.S. scholars, lecturers, and researchers.

(5) Review nominations and secure selection by BFS.

(6) For non-Commission countries, send out BFS select and non-select letters including those about non-selection for medical reasons.

(7) Participate in the planning of orientations for U.S. Scholars and assist in the programs as necessary.

(8) Issue publicity to Members of Congress.

(9) Review any evaluation reports received on grantees and the reports of grantee.

**Note:** Some grantee reports are sent directly to the cooperating agency, in which case, the cooperating agency will send a copy to ECA/A/E. ECA/A/E analyzes reports and takes appropriate action to adjust the program based on the grantee's comments and other available data.

### **10 FAM 439.2 The Cooperating Agency**

*(TL:PEC-01; 10-01-1999)*

The Cooperating Agency is responsible to:

- (1) Receive and screen applications.
- (2) Recruit lecturing and research candidates.
- (3) Secure health report for each grantee. All applicants for grants whose presence abroad will exceed two months must submit a "Statement of Health" on a form provided by the cooperating agency.
- (4) Nominate candidates to Commissions/posts and ultimate selection by the BFS after prerequisite steps have been completed and transmit nominations in accordance with arrangements with each ECA/A/E branch.
- (5) Notify all applicants of the action taken on their applications.
- (6) Prepare and issue fixed-sum grants for scholars going to non-Commission countries.
- (7) Receive acceptance or declination of grants issued by the Commissions, should the grantee be instructed by the Commission to follow this procedure, or elect to do so on his or her own initiative.
- (8) Send acknowledgments to candidates who have accepted grants issued by the Commissions. Information on insurance and income tax is supplied with the acknowledgment letters.
- (9) Issue and pay dollar supplement grants to lecturers for certain Commission countries.
- (10) Forward through ECA/A/E the Commission's signed copy of the grant.
- (11) Prepare permanent record cards on all grantees.
- (12) Compile and issue a list of U.S. Scholars for use in areas which have inter-country exchange programs.
- (13) For some areas, distribute orientation materials, including pre-departure details, information on local schools, living conditions, etc.
- (14) For ECA/A/E branches requesting a more comprehensive orientation, supply in-depth information on selected items.

## **10 FAM 439.3 Commissions**

*(TL:PEC-01; 10-01-1999)*

The Commissions are responsible to:

(1) Act on nominations within four weeks after receipt of the applications and supporting papers from the cooperating agency.

(2) Send status reports to alternate candidates, either those identified by the cooperating agency or those placed in alternate positions by the Commissions.

(3) Send status reports to principal candidates and to those for whom action is delayed.

(4) Report to ECA/A/E the names of candidates who will not be placed. This information is needed as soon as possible to refer the applications to another Commission/post if there is a possibility for placement.

(5) Issue grants and "Terms and Conditions of Award." This action is not taken until ECA/A/E reports that BFS selection has been received. If the grantee returns the signed copy directly to the Commission, it will be necessary for the Commission promptly to send copies to the cooperating agency and ECA/A/E.

(6) Provide detailed information on the program for each grantee either directly or from the host institution.

(7) Arrange some or all travel for grantees.

(8) Provide each grantee with an orientation packet on the host country, the practices of Commission, local customs, etc., and provide orientation in the host country after grantee's arrival.

(9) Assist grantees as necessary with housing and other items related to their adjustment to the host country.

(10) Monitor the grantee's program in the host country as necessary.

(11) Pay allowances in accordance with the procedures given in the section on Grant Benefits.

(12) Facilitate arrangements for payment of host institution's or host government's contribution to basic support of the grantee in countries where cost-sharing is practiced.

(13) Prepare evaluation report on each grantee.

(14) Supply grantees with report forms, collect reports, and forward requisite copies to ECA/A/E or the cooperating agency.

## **10 FAM 439.4 Post (in Non-Commission Countries)**

Posts, in non-commission countries, are responsible to:

- (1) Act on nominations within four weeks after receipt of the applications and supporting documents from the cooperating agency.
- (2) Arrange affiliations for programmed positions for which funding is available.
- (3) Report to ECA/A/E the acceptance or rejection of each applicant.
- (4) Provide detailed information on program for each grantee or have host institution provide the information.
- (5) Facilitate arrangements for payment of host institution's financial contribution to basic support of grantee in cases where cost-sharing is practiced.
- (6) Provide orientation in the host country, and, if ECA/A/E so requests, provide orientation materials in advance of grantees' arrival in host country.
- (7) Assist grantees as necessary with housing and other items related to their adjustment to the host country.
- (8) Facilitate grantee's program in the host country; plans should include some agreement on the grantee's activities during vacation periods.

## **10 FAM 439.5 Grantees**

*(TL:PEC-01; 10-01-1999)*

a. Grantees are responsible to:

- (1) Familiarize themselves with details of the "Terms and Conditions of Award" document.
- (2) Obtain their own and their families' passports and visas; and arrange for any health procedures, such as inoculations necessary, for their sojourn abroad. Obtain medical examination reports.
- (3) Arrange for any necessary leave permits from their home institution.
- (4) Familiarize themselves with special income tax situations governing their awards:

b. Lecturers and research scholars who receive 70% of their grant income in foreign currency may pay their U.S. income tax obligations on such



funds in the currency of the country. Each grantee receives, from the cooperating agency, a copy of an IRS leaflet explaining the income tax liabilities applicable to a Fulbright grant.